

REQUEST FOR PROPOSALS

For

Fiscal Year 2016 Financial Audit

PROPOSAL DUE DATE: **October 28, 2016 @ 5:00 PM (DST)**

CONTACT PERSON: **Ms. Corinne Holiday**

PLEASE RETURN ALL RESPONSES TO:

Mailing Address: **The Kayenta Township Commission
PO Box 1490
Kayenta, AZ 86033**

Physical Address: **The Kayenta Township Commission
¼ Mile North on HWY 163
Kayenta, Arizona 86033**

Clearly Mark Confidential: **“DO NOT OPEN”**

KAYENTA TOWNSHIP

SECTION I: INFORMATION

A. ISSUING OFFICE

This Request for Proposal (RFP) is issued by the Kayenta Township Commission (KTC), PO Box 1490, Kayenta, Arizona 86033.

B. PURPOSE

This RFP provides prospective Certified Public Accountants with sufficient information to enable them to prepare and submit proposals for consideration.

C. SCOPE

This RFP contains the instructions governing the proposals to be submitted and the materials to be included therein; mandatory requirements which must be met to be eligible for consideration; and other requirements to be met by each proposal.

E. INVITATION TO SUBMIT REQUEST FOR PROPOSALS

The Kayenta Township Commission is hereby contacting prospective certified public accountant(s) who have interest or are known to conduct business relevant to this RFP. All interested individuals/firms are invited to submit a proposal in accordance with the instructions herein. NOTE: In the event the CPA(s) decides not to submit a proposal, please sign the face sheet (first page of this RFP), indicating "NO PROPOSALS" and return. **Please be advised that Navajo Business Preference Laws will be observed at all times.**

F. INQUIRIES

Prospective CPA may make telephone or written inquiries concerning this RFP by contacting Ms. Corinne Holiday at (928) 697-8451 or by email to choliday@kayentatownship-nsn.gov Monday through Friday, from 8:00 a.m. to 5:00 p.m. (DST).

G. ADDENDUM OF SUPPLEMENT TO THIS REQUEST FOR PROPOSAL

In the event that it becomes necessary to revise any portion of this RFP, an addendum will be issued.

H. PROPOSAL SUBMISSION

The proposal must be received no later than October 28, 2016, 5:00 p.m., local time at the Kayenta Township Office, ¼ mile north on Highway 163 or at PO Box 1490, Kayenta, Arizona 86033. Respondents who are mailing their proposals should allow sufficient time for mail delivery to insure receipt by the time specified. Two copies of the proposal must be submitted with the original copy bound and sealed. **Telefaxed or emailed copies will not be accepted.** The Commission reserves the right to reject any and all proposals and to waive any informality in the best interest of the Kayenta Township. Any proposals received after the timeline will be returned unopened. The professional services contract will be awarded to the CPA (individual or firm) whose proposal is most advantageous to the Township, subject to the qualification statements. The successful CPA shall comply with all applicable laws and rules of the Navajo Nation Business Preference Law (NNBPL), 5 N.T.C.-Section 205, et. Seq. Inquiries regarding this invitation may be directed to Ms. Corinne Holiday at (928) 697-8451.

NOTE: Please enclose your proposal in an envelope and mark "Fiscal Year 2016 Financial Audit Proposal," on the outside of the envelope. In the event that it becomes necessary to revise any portion of this RFP, an addendum will be issued.

I. PROPRIETARY INFORMATION

Any restriction on the use of data contained within any proposal must be clearly stated in the proposal itself. Each page of the proprietary material must be labeled or identified with the word "Proprietary."

J. RESPONSE MATERIAL OWNERSHIP

All material submitted in response to this RFP shall become the property of the Township and will not be returned to the CPA. Responses received will be retained in the Township files and may be reviewed by any person after the final selection has been made, subject to Paragraph I stated above. The Township has the right to use any or all system ideas presented in reply to this RFP, subject to limitations outlined in Paragraph I above. Disqualification or non-selection of a CPA or proposal does not eliminate this right.

K. INCURRING COSTS

The Township is not liable for any cost incurred by the CPA prior to the issuance of an agreement, contract, and/or purchase order. An itemized breakdown of proposed costs and expenses shall be provided with the proposal.

L. TIME SCHEDULE

The CPA shall begin work on the audit when the notice to proceed is received from the Township management.

M. ACCEPTANCE OF PROPOSAL CONTENT

The content of the proposal of the successful CPA will become contractual obligations upon the execution of a written contract. The Township will not accept any auditor loss limitation or indemnification clauses in the engagement contract. Failure of the successful CPA to accept these obligations in a purchase agreement, purchase order, delivery order or similar contract instrument may result in the cancellation of the award and such CPA may be removed from future solicitation.

N. ACCEPTANCE TIME/AWARD OF BID

The Commission intends to make a CPA selection within ten (10) business days after the closing date for receipt of proposals. Upon selection, a purchase order or contract document will be prepared to the contract and the proposal submitted by the CPA will become a relevant part of the contract for Commission approval.

O. JOINT PROPOSALS

Nothing in this RFP shall be construed to prohibit CPAs from entering into a consortium for the purpose of offering a proposal in response to this RFP. Parties to a consortium will not be permitted independent, individual proposals in response to this RFP.

P. STANDARD CONTRACT

The Commission reserves the right to incorporate standard contract provisions into any contract as a result of a proposal submitted in response to this RFP.

- Q. **RETURN OF PROPOSALS**
The Commission has no obligation to return any proposals received in response to this RFP.
- R. **RESPONDENT REQUIREMENTS:**
All Respondents must have, at a minimum, the capabilities listed herein and the bid proposals submitted must reflect in detail the inclusion of these services as well as the degree of expertise in utilizing these capabilities.
- S. **MATERIALS**
CPA is expected to provide all necessary transportation, equipment, labor, computer systems, communications equipment, services, supplies and any related items necessary to fulfill contract requirements, except where otherwise approved by the Township.
- T. **SUBCONTRACTS**
The use of subcontractors permissible under the terms of this contract only with the Commission's prior written consent. It is the responsibility of the contractor to assure that subcontractors comply with all provisions of the contract.
- U. **FINANCIALS AND NOTES**
The Township drafts the financial statement reporting package (including MD&A, financial statements, notes to financial statements, and general fund budget to actual). Auditor assistance is not required in drafting the financial reporting package.

This is not a single Audit.

SECTION II: BACKGROUND

- A. **SCOPE OF CONTRACT**
The Kayenta Township is a recognized Indian municipality formed through passage of Navajo Nation Council Resolutions CN-76-96 and CJA-3-96. The KTC Plan of Operation and Sales Tax Project were approved through the above referenced resolutions.

B. DESCRIPTION OF SERVICES AND REQUIREMENTS

- a. Conduct an audit of the KTC's 2016 Fiscal Year financial statements. The Township Fiscal Year is from October 01 to September 30.
- b. Submit a written report to the Township containing an expression of opinion on the governmental activities, business – type activities, each major fund, and the aggregate remaining fund information.
- c. Submit a written auditor's Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Basic Financial Statements Performed in Accordance with *Government Auditing Standards*.

The CPA shall comply with the following:

- C. **COMPLIANCE WITH NAVAJO BUSINESS PREFERENCE LAW:**

Interested persons and firms seeking qualifications under the Navajo Business Preference Law shall submit sufficient evidence to establish their qualifications as a Navajo-owned economic enterprise or organization in accordance with Navajo Business Preference Act, Section 205(5)(A).

SECTION V. EVALUATION OF PROPOSALS

REQUIRED EVALUATION & PROPOSAL PROCEDURES

1. An ad hoc committee will judge the merits of the proposal received in accordance with the required general criteria defined herein. The ad hoc committee will consist of members of the Kayenta Township staff. The CPA should be prepared to provide any additional information the committee may require to conduct a fair proposal evaluation.
2. Failure of the CPA to provide any information requested in this RFP may result in disqualification of the proposal. All proposals must be endorsed with the signature of a responsible official having the authority to bind the respondent to the execution of a contract.
3. The sole objective of the ad hoc committee will be to select the CPA, whose proposal is most advantageous to the Township, on the merits of the proposal. The specifications of the RFP represent the minimum requirements necessary for a response. On the basis of the evaluation criteria established in this RFP, the ad hoc committee will select and recommend the respondent who best meets this objective. The evaluation of the proposals and the selection of a CPA will take place at the Kayenta Township office in a closed session.
4. This invitation is open to all interested CPAs (firms or individuals). Navajo Business Preference will apply in the award of this bid.
5. Required Evaluation Criteria: Township will select one proposal based on cost, capabilities, experiences, and references. The following point system will be applied in the selection process:

Required Evaluation & Criteria		Points
Cost:		
Lowest.....		21-30
Second Lowest.....		11-20
Third Lowest.....		0-10
Statement of Experiences & Qualification		0-25
Record of Performance and Timeliness in Execution of Previous Contracts (Include client name, title, address and telephone)		0-10
Submit a Copy of (3) municipal government References – most recent in last 3 years		0-10
Required License, Certification to Perform the Required Services or Work		0-25
TOTAL POSSIBLE POINTS		100